

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hans RUF
Title: DEVICE FOR BRIQUETTING
Serial No.: 10/523,555
Based Upon: PCT/EP2002/008630
Express Mail No.: EV731979697US
Date of Deposit: 12 September 2005
Customer No.: 42419

CERTIFICATE OF MAILING BY EXPRESS MAIL

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

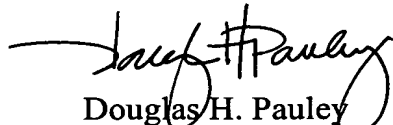
I hereby certify that the following requisites of the subject U.S. Patent Application are being deposited with the United States Postal Service as Express Mail Post Office to Addressee No. EV731979697US, on 12 September 2005, and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, together with the items listed below.

- Transmittal Letter (Form PTO-1390) (2 pages), in duplicate

Serial No.: 10/523,555

- Executed German Language Declaration (3 pages), attached to a German language copy of the International Application
- First Information Disclosure Statement (2 pages), together with Form PTO-1449 (2 pages), and with a copy of each and every cited non-U.S. Patent reference
- Recordation Form Cover Sheet, together with executed Assignment Document (3 pages total)
- Executed Claim for Small Entity Status document
- A check in the amount of \$105.00 to cover the fees set forth in the Transmittal Letter
- Copy of the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
- Return Receipt Postcard

Respectfully submitted,



Douglas H. Pauley
Registration No. 33,295

Pauley Petersen & Erickson
2800 West Higgins Road; Suite 365
Hoffman Estates, Illinois 60195
TEL (847) 490-1400
FAX (847) 490-1403

JL06 Rec'd PCT/PTO 12 SEP 2005

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

VO-717

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

10/523,555

INTERNATIONAL APPLICATION NO.

PCT/EP2002/008630

INTERNATIONAL FILING DATE

02 August 2002

PRIORITY DATE CLAIMED

02 August 2002

#5

TITLE OF INVENTION

DEVICE FOR BRIQUETTING

APPLICANT(S) FOR DO/EO/US

Hans RUF

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND OR SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)). (verified)
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). (verified)
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (3 pages, executed, attached to a copy of the International Application)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

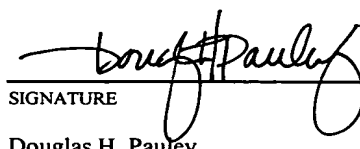
11. ☒ A First Information Disclosure Statement under 37 CFR 1.97 and 1.98. (2 pages)
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. (3 pages total)
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification. (attached to a red-ink marked-up version of the English language translation)*
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
 - Copy of Notification of Missing Requirements Under 35 U.S.C. 371
 - Certificate of Mailing by Express Mail (2 pages)
 - Return Receipt Postcard
 - Executed Claim for Small Entity Status document
 - Form PTO-1449 (2 pages), and with a copy of each and every non-U.S. Patent reference cited therein

I/ csh

EXPRESS MAIL NO.: EV731979697US

MAILED: 12 September 2005

CUSTOMER NO.: 42419

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/523,555		INTERNATIONAL APPLICATION NO. PCT/EP2002/008630		ATTORNEY'S DOCKET NUMBER VO-717	
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Basic National Filing Fee \$ 300.00 National Stage Search Fee \$ 500.00 National Stage Examination Fee \$ 200.00				CALCULATIONS PTO USE ONLY <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$	0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims			X \$50.00		
Independent claims			X \$200.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00		
TOTAL OF ABOVE CALCULATIONS =				\$	130.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	
SUBTOTAL =				\$	65.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	
TOTAL NATIONAL FEE =				\$	65.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	
TOTAL FEES ENCLOSED =				\$	105.00
				Amount to be:	\$
				refunded	
				charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$105.00 to cover the above fee is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-3550</u> . A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Pauley Petersen & Erickson 2800 West Higgins Road, Suite 365 Hoffman Estates, Illinois 60195 (847) 490-1400 Fax: (847) 490-1403				<div style="text-align: center;">  SIGNATURE Douglas H. Pauley NAME 33,295 REGISTRATION NUMBER </div>	

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))-SMALL BUSINESS CONCERN**

**Docket Number
VO-717**

Applicant or Patentee: Hans RUF

Serial or Patent No.: _____

Filed or Issued: _____

Title: DEVICE FOR BRIQUETTING

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN

Ruf GmbH & Co. KG

ADDRESS OF SMALL BUSINESS CONCERN

Tussenhausener Strasse 6

DE-86874 Zaisertshofen, Germany

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below:

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

Hans Ruf

TITLE OF PERSON IF OTHER THAN OWNER

Präsident

ADDRESS OF PERSON SIGNING

Tussenhausener Strasse 6, DE-86874 Zaisertshofen, Germany

SIGNATURE

Hans Ruf

DATE

4.3.05

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

V0705 Rec'd PCT/PTO 01 FEB 2005

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

10/523555

INTERNATIONAL APPLICATION NO.

PCT/EP2002/008630

INTERNATIONAL FILING DATE

02 August 2002

PRIORITY DATE CLAIMED

02 August 2002

TITLE OF INVENTION

DEVICE FOR BRIQUETTING

APPLICANT(S) FOR DO/EO/US

Hans RUF

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND OR SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). (verified)
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment. (6 pages)
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ A substitute specification. (attached to a red-ink marked-up version of the English language translation)
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
 - Form PCT/IB/301
 - Form PCT/IB/308
 - Form PCT/ISA/210 (English language version, 3 pages)
 - Transmittal of Substitute Specification (2 pages)
 - Certificate of Mailing by Express Mail (2 pages)
 - Return Receipt Postcard

EXPRESS MAIL NO.: EV478067757US

MAILED: 01 February 2005

CUSTOMER NO.: 42419

U.S. APPLICATION NO. (if known, see 37 CFR 1.53) 10/523555				INTERNATIONAL APPLICATION NO. PCT/EP2002/008630		ATTORNEY'S DOCKET NUMBER VO-717	
17. ■ The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): <div style="margin-left: 40px;"> Basic National Filing Fee \$ 300.00 National Stage Search Fee \$ 500.00 National Stage Examination Fee \$ 200.00 </div>						CALCULATIONS PTO USE ONLY	
ENTER APPROPRIATE BASIC FEE AMOUNT =						\$ 1,000.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).							
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE				
Total claims	*11	0	X \$50.00	\$	0.00		
Independent claims	*1	0	X \$200.00	\$	0.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00				
TOTAL OF ABOVE CALCULATIONS =				\$		1,000.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.						+	
SUBTOTAL =				\$		1,000.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).						+	
TOTAL NATIONAL FEE =				\$		1,000.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.						+	
TOTAL FEES ENCLOSED =				\$		1,000.00	
* Based upon entry of the First Preliminary Amendment.						Amount to be: refunded \$ charged \$	
<p>a. ■ A check in the amount of <u>\$1,000.00</u> to cover the above fee is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. ■ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-3550</u>. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>							
SEND ALL CORRESPONDENCE TO: Pauley Petersen & Erickson 2800 West Higgins Road, Suite 365 Hoffman Estates, Illinois 60195 (847) 490-1400 Fax: (847) 490-1403						<div style="text-align: center;"> <hr/> SIGNATURE Douglas H. Pauley <hr/> NAME 33,295 <hr/> REGISTRATION NUMBER </div>	